Module 3

Charter Exercise Handout Package

HANDOUT 3-1
Case Study Background

Your command's ESC has identified and prioritized two processes for improvement based on internal and external customer requirements. Your command is responsible for distribution of the DON-wide correspondence training courses. Lately, you have been receiving complaints from the Fleet that courses are not being received in a timely manner (as outlined on the next page). Departments within the command have been complaining that it takes five days to send information from one department to another through the guard mail system, which leads to delays in processing Fleet requests for advancement materials. The ESC identified these participants in the Fleet as its external customers and tasked your QMB (through the ESC linking pin) to develop the information needed to improve this service.

According to command regulations, mail distribution is the responsibility of the Commanding Officer's secretary and the Administrative Department. In addition, the Administrative Department is responsible for all copying work for the command. The Administrative Department is made up of three employees: the department head, who is dual-hatted as mail room supervisor; a driver; and a clerk.

Mail is picked up from the local post office and other area commands twice a day and delivered to the CO's secretary for sorting. The CO's secretary, however, only has time to sort and distribute the mail to Admin once a day. After sorting has taken place, the mailroom clerk/admin assistant takes the mail to each individual addressee and picks up outgoing mail for distribution. This outgoing mail is given to the CO's secretary for sorting with the next day's mail. While the mail clerk is delivering mail, no copying can be done. The driver can't help because twice a day he is covering a 50 mile radius of other commands.

The command is responsible for developing and sending out correspondence courses used for advancement in rate for Fleet service members. Upon receipt of the request, the command sends a mail-read copy to the Post Office.

As QMBs, you have completed macro-level flowcharts of the process of sending course material to the Fleet and of the command's mail distribution process. You have also collected some baseline data on complaints.

HANDOUT 3-2
Fleet Complaints

Oct 01 - Mar 31

	Sea	Shore	Other
LANTFLT	612	48	32
PACFLT	214	168	16
TRACOMS	X	422	12
HQ	X	27	X
Total	826	665	60

Apr 01 - Sep 30

	Sea	Shore	Other
LANTFLT	736	139	86
PACFLT	686	294	29
TRACOMS	X	382	8
HQ	X	38	X
Total	1422	853	123

HANDOUT 3-3a
Mailroom PAT Charter A

Charter

This PAT is established to improve quality in the procedures for internal command mail distribution.

Within this charter, the PAT will accomplish the following:

- Using baseline measurement criteria for command mail distribution processes, determine if we are providing the highest quality service to our customers.

- Determine the quality characteristics desired by internal customers and external customers.

- Use TQL principles, techniques, and philosophy to constantly improve processes to achieve the highest quality of customer/supplier interface.

Process Action Team's Strategic Objective

To improve the internal command mail distribution process.

Roles and Responsibilities

- Identify processes for improvement to meet charter objectives.

- Interpret and consolidate process analysis data to develop, test, evaluate, and implement process improvement plans.

- Advise the Administrative QMB on matters that require higher action.

- Strive to remove barriers to TQL implementation.

Membership

1. Mailroom supervisor
2. CO's administrative assistant
3. Mailroom clerk
4. Training specialist
5. Driver
6. CO's secretary

HANDOUT 3-3b

Meetings

The team leader and recorder will be elected by the PAT and rotated as deemed necessary. Ground rules will be established by the PAT. The duration of the PAT is indefinite. Meeting frequency will be decided by the PAT.

Reporting Requirements

Minutes will be taken on the provided format at each meeting, and forwarded to the Admin QMB and TQL coordinator's office within 5 working days after the meeting.

Process analysis will be properly documented per established guidelines using the Plan-Do-Check-Act (PDCA) approach and the preferred Statistical Process Control (SPC) tools.
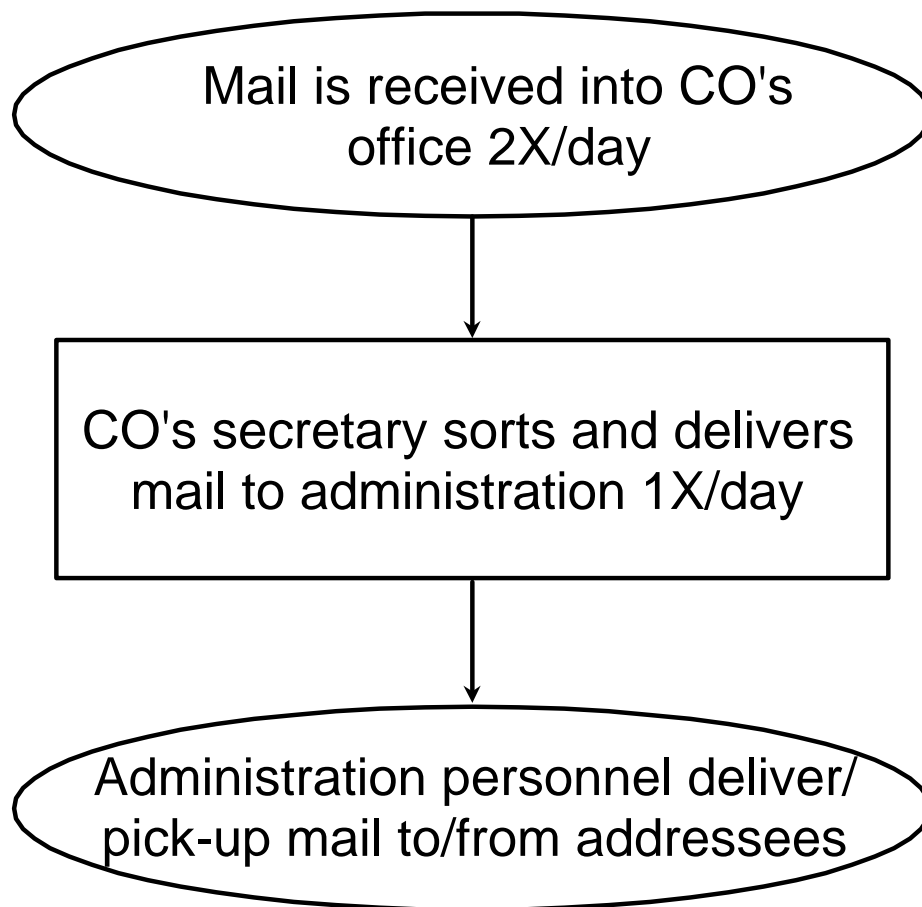
Approval/Disapproval

The PAT will implement process improvements that have been properly researched, tested for success, result in efficiencies, and are within areas over which the team has authority and responsibility.

Process improvements beyond the authority and responsibility of the PAT and QMB will be presented to the ESC for action.

Disapproval of recommended improvements is restricted to the ESC level; intervening levels may only approve or refer to the next higher level.

HANDOUT 3-3c
Command Regulation Flowchart

Mail is received into CO's office 2X/day

↓

CO's secretary sorts and delivers mail to administration 1X/day

↓

Administration personnel deliver/pick-up mail to/from addressees

HANDOUT 3-4a
Mailroom PAT Charter B

Charter

This PAT is established to improve quality in the procedures for external distribution of correspondence courses to the Fleet.

Within this charter, the PAT will accomplish the following:

- Using baseline measurement criteria for command mail distribution processes, determine if we are providing the highest quality service to our customers.

- Determine the desired quality characteristics by internal customers and external customers.

- Use TQL principles, techniques, and philosophy to constantly improve processes to achieve the highest quality of customer/supplier interface.

Process Action Team's Objective

To improve the distribution of correspondence courses to the Fleet.

Roles and Responsibilities

- Identify processes for improvement to meet charter objectives.

- Interpret and consolidate process analysis data to develop, test, evaluate, and implement process improvement plans.

- Advise the Administrative QMB on matters that require higher action.

- Strive to remove barriers to TQL implementation.

Membership

1. Mailroom supervisor
2. CO's administrative assistant
3. Mailroom clerk
4. Training specialist
5. Driver
6. CO's secretary

HANDOUT 3-4b

Meetings

The team leader and recorder will be elected by the PAT and rotated as deemed necessary. Ground rules will be established by the PAT. The duration of the PAT is indefinite. Meeting frequency will be decided by the PAT.

Reporting Requirements

Minutes will be taken on the provided format at each meeting and forwarded to the Admin QMB and TQL coordinator's office within 5 working days after the meeting.

Process analysis will be properly documented per established guidelines using the Plan-Do-Check-Act (PDCA) approach and the preferred Statistical Process Control (SPC) tools.
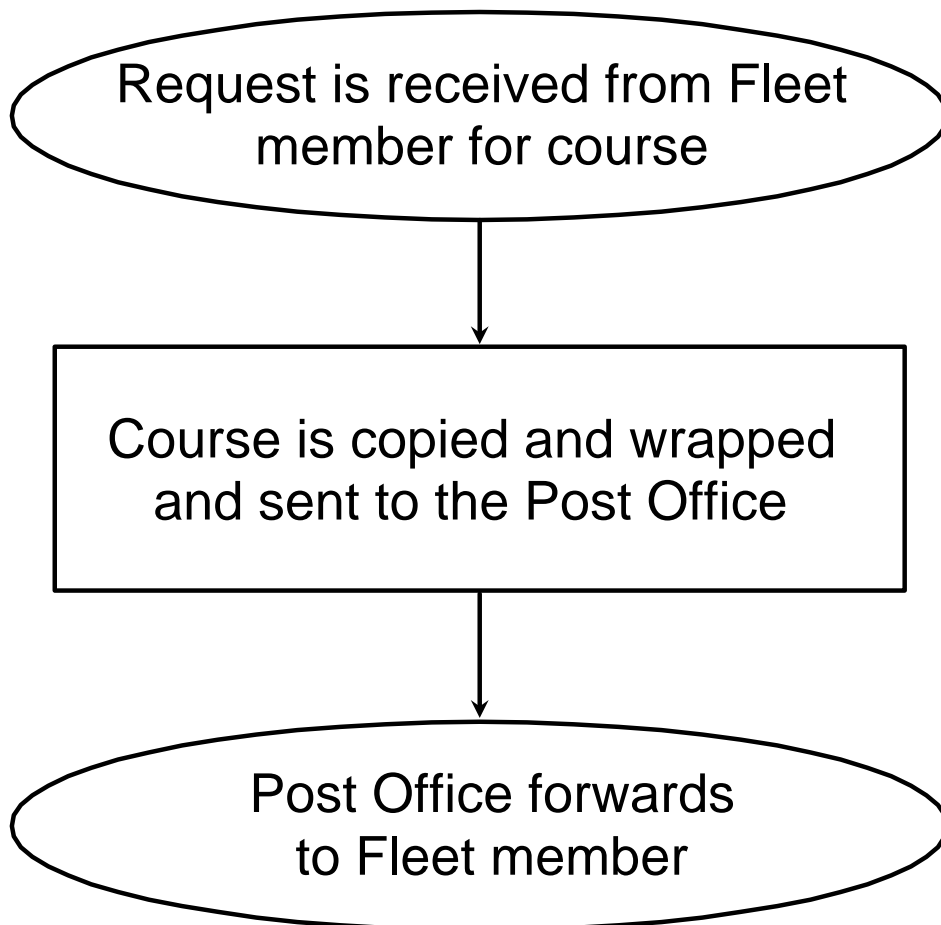
Approval/Disapproval

The PAT will implement process improvements that have been properly researched, tested for success, result in efficiencies, and are found to be within areas over which the team has authority and responsibility.

Process improvements beyond the authority and responsibility of the PAT and QMB will be presented to the ESC for action.

Disapproval of recommended improvements is restricted to the ESC level; intervening levels may only approve or refer to the next higher level.

HANDOUT 3-4c
Regulation Flowchart

Request is received from Fleet member for course

Course is copied and wrapped and sent to the Post Office

Post Office forwards to Fleet member

HANDOUT 3-5
Charter Exercise Instructions

Part One: Evaluate the Charter

You are a QMB which has been chartered to improve the administrative processes in your command. For this part of the exercise your QMB is developing a charter to give to a PAT. For exercise purposes, the charter we are giving you was developed by one of your team members. Take about 30 MINUTES to complete this part of the exercise.

Team assignments are as follows:

- Teams 1 and 2 will work on "Improving the internal mail distribution in your command."

- Teams 3 and 4 will work on "Improving the external distribution of correspondence courses."*

● Review the characteristics of an effective charter in your Student Guide.

● Familiarize yourselves with the Mailroom PAT Charter and Regulation Flowchart you were given.

● CAUTION: Do not assume the roles of team members listed in the charter. These are the workers who have been recommended for membership on the PAT.

● CAUTION: Do not assign a team leader, recorder, or quality advisor at this time.

● Answer the Charter Exercise Questions (Handout 3-6).

---

* We realize that internal mail distribution is not a mission-essential/significant process, but the mailroom topic was chosen as a generic process about which most people have some knowledge.

HANDOUT 3-6
Charter Exercise Questions

1. Is the team's charter clear (i.e., will they know what the QMB expects them to do)?

2. Does the tasking cover the entire process or only part of it? Where does the team fit in? Where does the process start and end?

3. What are the specific process boundaries? What will be outside the team's jurisdiction?

4. What improvement goals have been set, and are they realistic?

5   a. What resources (inside and outside the department) will be needed? Has the QMB committed these resources to support the team?

    b. Does the team have the right people to accomplish the objective and analyze the process?

    c. What people not on the team are critical to the team's success?

6   a. What authority does the charter give to the team to make changes in the process (remove common/special cause variation)?

    b. Is the authority given appropriate for this type of team tasking?

HANDOUT 3-7
Instructions for Observers

1. Do not participate in the meeting content. Ignore the topics discussed and pay attention solely to the discussion methods and interactions among members.

2. Report what you see and hear. Avoid reporting what you think was going on in other peoples' minds.

3. Be descriptive and follow a structure. For example, you could report on categories of observations, recurring patterns of behaviors, or a chronological sequence of what happened during the meeting.

4. Select some meeting characteristics to observe:

   a. Who talks?
   b. How often does each member talk?
   c. How many interruptions are there?
   d. How many statements of agreement and disagreement are there?
   e. How often do discussions get sidetracked?

5. At the top of a sheet of paper, write down what characteristics you have decided to observe. Watch the group for a couple of minutes before you begin recording observations.

6. Be prepared to discuss your observations.

7. Remember the guidelines for constructive feedback:

   a. Give both positive and negative feedback.
   b. Understand the context. Explain why you are making a particular statement.
   c. Be descriptive.
   d. Don't use labels.
   e. Don't exaggerate.
   f. Don't be judgmental.
   g. Speak for yourself.
   h. Talk first about yourself, not about the other person.
   i. Phrase the issue as a statement, not a question.
   j. Restrict your feedback to things you know for certain.
   k. Help people hear and accept your compliments when giving positive feedback.

HANDOUT 3-8
Charter Exercise Instructions

Part Two: Rewrite the Charter

Your team is acting as a QMB and you are to rewrite the PAT's charter. Take about 30 MINUTES to rewrite the charter using the Characteristics of an Effective Charter in the Student Guide.

- At this time, elect the following:

  - Team leader

  - Recorder

  - Quality advisor

  - Downward linking pin

- If necessary, review the QMB's role in the Student Guide.

HANDOUT 3-9
Charter Exercise Instructions

Part Three: Validate the Charter

- Take about 15 MINUTES to validate* the rewritten charters.

- Elect a team leader, recorder, quality advisor, and downward linking pin.

- Use your downward linking pin to carry your revised charters to the opposite team for validation.

- Acting as PATs, validate the revised charters.

- Get answers to any questions your team wants to address to the QMB from the linking pin.

---

* Validating the charter means reviewing the charter to ensure that the lower level team understands their assignment.

HANDOUT 3-10
Internal Mail Distribution QMB Charter

Process to be Improved: Distribution of mail within the command
This process begins with pickup from the U.S. Post Office, includes delivery to and collection from all addressees within the command, and ends with delivery of outgoing mail to the Post Office.

Boundaries and Limitations
This QMB should limit the scope of its study to the process as outlined above. Other processes involved in generating mail will be studied by other teams as appropriate. For example, a separate QMB is being established concurrently to manage and improve the process of preparing products such as correspondence courses for distribution to the Fleet.

Expected Results
Departments within the command have indicated that internal mail distribution delays are affecting delivery of products to our external customers. The goal of this QMB is to reduce such delays and/or their effect on the external distribution of products and services. A progress report should be made 60 days from the date of this charter, and as directed thereafter.

Resources
Team members are authorized to name alternate representatives for weekly staff meetings to allocate time for this important tasking. Additionally, all staff will be advised during Captain's Call to provide whatever data or assistance may be needed to provide information that will help improve this process. The internal and external mail QMBs may need to work closely together to achieve optimum performance of these related processes. Funding requirements for this study are not anticipated. However, if such needs are identified by the QMB, the team leader should notify the ESC so that budget priorities can be reassessed.

Limits of Authority
This QMB is authorized to effect any changes it deems appropriate to improve the process within the boundaries identified above. If changes which would affect other processes within the command are identified, they should be referred to the ESC as recommendations and should be accompanied by supporting data.

Team Members
Team leader	Department Head (Administrative Department)
Members	Department Head (Supply Department), Command Master Chief, Command Transportation Coordinator
ESC downlink	Executive Officer
Quality advisor	To be assigned

HANDOUT 3-11
External Correspondence Distribution QMB Charter

Process to be Improved: Distribution of correspondence course materials to the Fleet. This process begins with Training Department receipt of a Fleet request for course material and ends with material delivery to the Post Office. It includes printing and reproduction services performed within the Training Department.

Boundaries and Limitations

This QMB should limit the scope of its study to the process as outlined above. Other processes involving distribution of mail from Admin to the Training Department will be studied by other teams as appropriate. For example, a separate QMB is being established concurrently to manage and improve the process of internal mail distribution (i.e., to and from departments).

Expected Results

Feedback from Fleet members indicates they are unhappy with the length of time it takes to receive correspondence courses. The goal of this QMB is to reduce or eliminate delays in the distribution of products and services to our external customers in the Fleet. A progress report should be made 60 days from the date of this charter, and as directed thereafter.

Resources

Team members are authorized to name alternate representatives for weekly staff meetings to allocate time for this important tasking. Additionally, all staff will be advised during Captain's Call to provide whatever data or assistance may be needed to provide information that will help improve this process. The internal and external mail QMBs may need to work closely together to achieve optimum performance of these related processes. Funding requirements for this study are not anticipated. However, if such needs are identified by the QMB, the team leader should notify the ESC so that budget priorities can be reassessed.

Limits of Authority

This QMB is authorized to effect any changes it deems appropriate to improve the process within the boundaries identified above. If changes which would affect other processes within the command are identified, they should be referred to the ESC as recommendations and should be accompanied by supporting data.

Team Members

Team leader	Department Head (Training Department)
Members	Department Head (Supply Department), Department Head (Production Services), Department Head (Administrative Services)
ESC downlink	Executive Officer
Quality advisor	To be assigned

Module 5

Exercises Handout Package

HANDOUT 5-1
Topic 1: Improving the internal mail distribution in your command

The task is to construct an "as-is" flowchart of this process.

Since the clerk has to do the command copying, he or she has no time to deliver mail to each addressee. Therefore, he or she gets the sorted mail from the CO's secretary and delivers it to each Department Head secretary. The Department secretary sorts and delivers mail to the Division secretaries, who in turn deliver it to the Branch secretaries. If there are no Branch secretaries, the Division secretary delivers mail to the addressees. The Branch secretary either delivers the mail to the addressees or sorts the mail and delivers it to the Section secretary, who then distributes it to the addressees.

One additional item: if the mail is delivered to the wrong person, it is returned to the CO's secretary for redistribution, and the whole process begins again.

HANDOUT 5-2
Topic 2: Improving the external
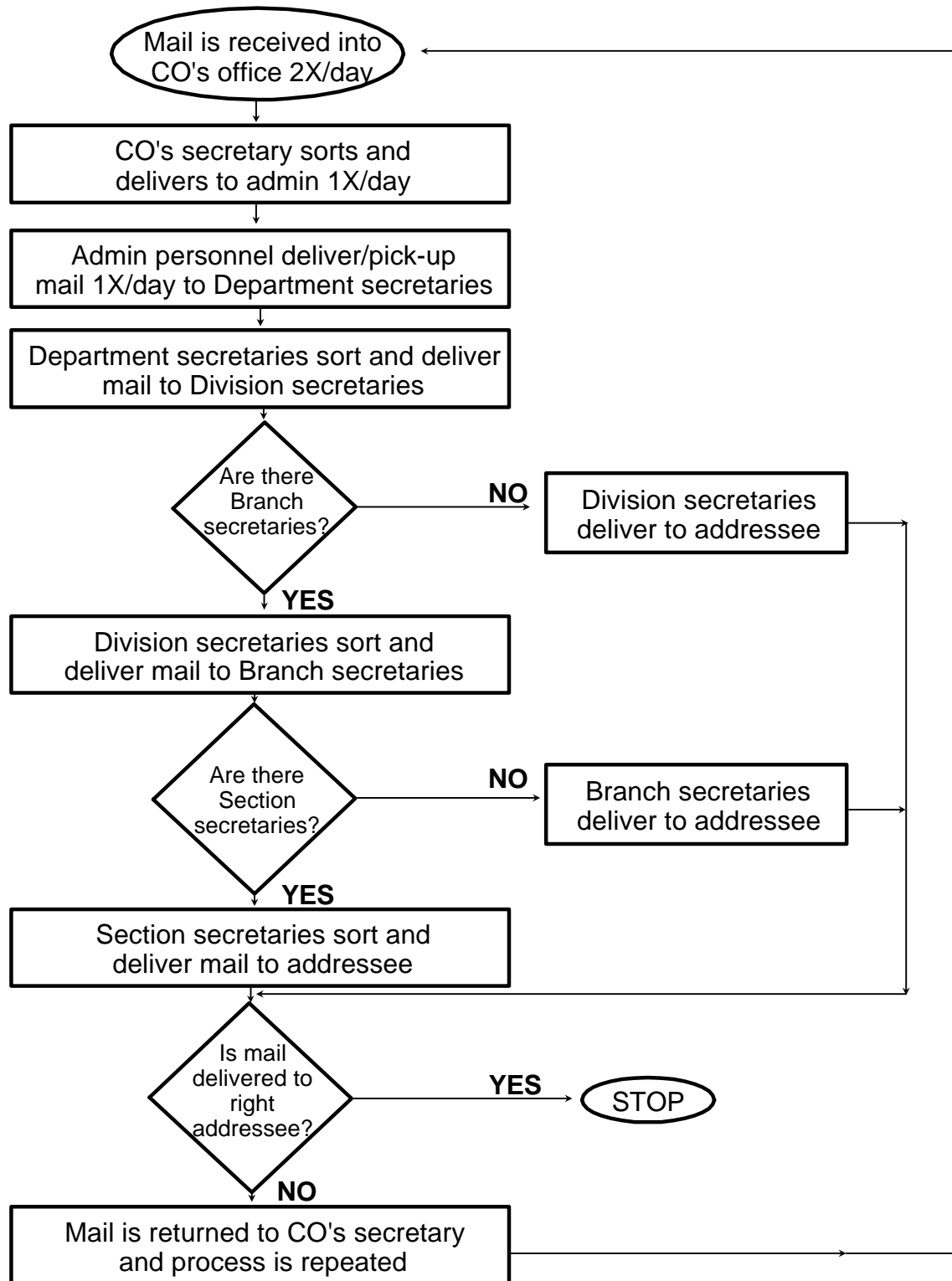## distribution of correspondence courses to the Fleet

The task is to construct an "as-is" flowchart of this process.

When a Fleet member needs a correspondence course sent from this command, he or she sends a request to the manual and exam writer (TRAMAN writer). Upon receipt of this request, the TRAMAN writer submits a printing request to the Production Services Division, which keeps a copy of the master on file. Production Services forwards this master to the Admin/Repro section to have a copy made. Between mail runs to all the departments, the mail clerk runs the copy and forwards both the original and copy back to Production Services.

Production Services forwards the copy to the TRAMAN writer, who then drafts a cover letter for this package. The TRAMAN writer then forwards the letter and package to the Admin Section for chop. The Admin Section is also responsible for ensuring that all correspondence is written according to Navy regulations. If the letter is not correct, the entire package is returned to the TRAMAN writer to redo the letter. If the letter is correct, the package and letter are forwarded to the shipping section and wrapped according to regulations. Shipping then forwards the package to the Post Office, which sends it to the Fleet service member.

HANDOUT 5-3
Topic 1 "As-Is" Flowchart

Mail is received into CO's office 2X/day

CO's secretary sorts and delivers to admin 1X/day

Admin personnel deliver/pick-up mail 1X/day to Department secretaries

Department secretaries sort and deliver mail to Division secretaries

Are there Branch secretaries? — **NO** → Division secretaries deliver to addressee

YES

Division secretaries sort and deliver mail to Branch secretaries

Are there Section secretaries? — **NO** → Branch secretaries deliver to addressee

YES

Section secretaries sort and deliver mail to addressee

Is mail delivered to right addressee? — **YES** → STOP

NO

Mail is returned to CO's secretary and process is repeated

HANDOUT 5-4
Topic 2 "As-Is" Flowchart

Request is received from Fleet member for course and forwarded to TRAMAN writer

TRAMAN writer submits
printing request to production services

Production services forwards master
to admin/repro services

Mail clk reproduces course copy
and forwards original and
copy to production services

Production services forwards copy
to TRAMAN writer

TRAMAN writer drafts cover letter
and forwards both to admin for chop

Is the
letter
correct?

NO

Entire package is
returned to
TRAMAN writer

YES

Package is forwarded to Shipping
section and prepared for shipping

Shipping sends package
to Post Office

Post Office forwards
to Fleet member

HANDOUT 5-5
Blank Cause-and-Effect Diagram
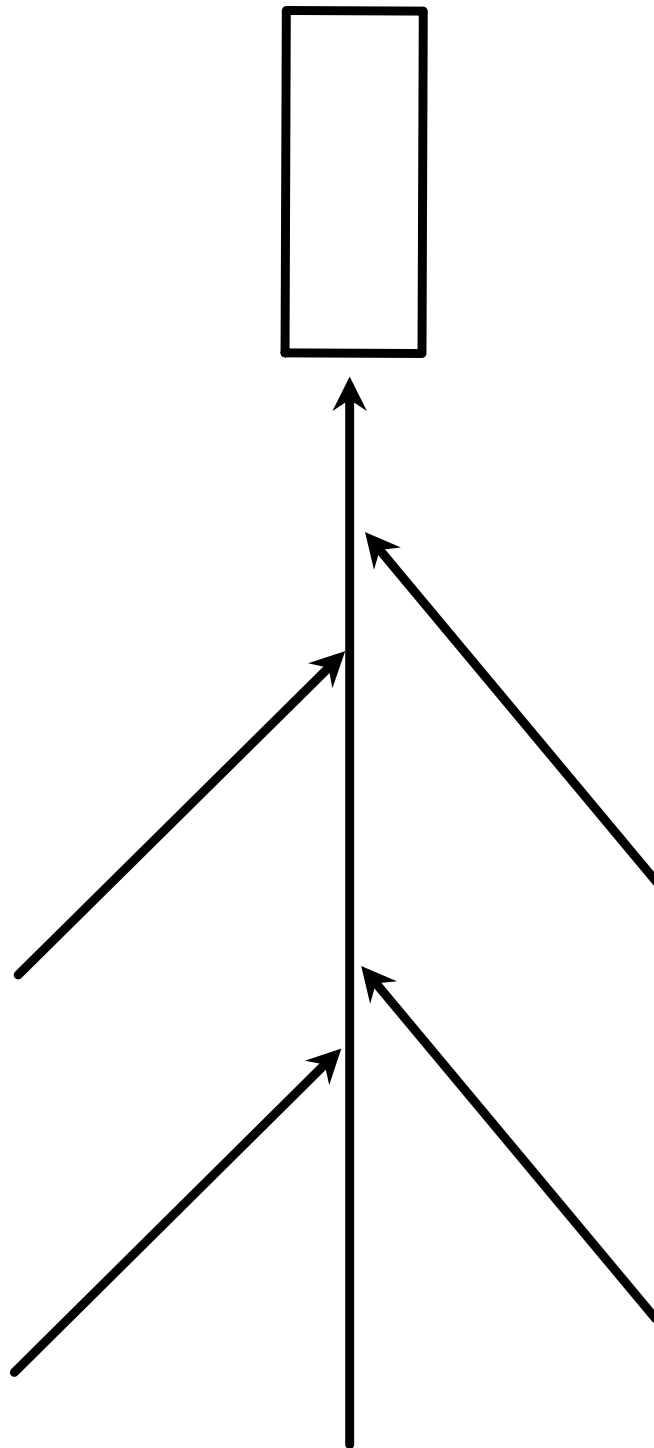
HANDOUT 5-6
Pre-Data-Collection Planning Questionnaire

1. What do you want the data to tell you? What concept are you trying to evaluate? Establish operational definitions.

2. What data will be collected?

3. What data is available now? How valid is it?

4. What are some factors that might cause your measurement of the same item to vary? How can you reduce the impact of these factors?

5. Who will collect the data?

6. Who will be responsible for coordinating the data collection?

7. Where will the data be collected?

8. When will the data be collected? Start time? Stop time? For what period (week, month, etc.)

9. Will statistical sampling be done? If so, how and what accuracy level is desired?

10. What measurement technique will be used?

11. Which tool will be used to group and analyze your data?

12. Is training needed before the data is collected? If so, who needs training and who will do the training?

13. Who will summarize the data and who will review the data?

14. How will the data help assess ability to meet customer-driven quality characteristics?

15. How will the data help us to improve the process?

HANDOUT 5-7
Data Collection Sheet

Department/Code									
Section Name		Instructions							
		Identification of Data Collected							
Date	Time	Person Collecting Data							
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
Sum									
Average									
Standard Deviation									
Notes									

Module 6

Stages of Team Development Case Study Applications Exercise Handout Package

HANDOUT 6-1
Stages of Team Development Case Study Applications

CASE STUDIES AND QUESTIONS

For each of the following Case Study scenarios, answer the following questions:

1. **What stage of development is this team in?**
2. **What behaviors or other factors tell you this?**
3. **What should you do as the QA or team leader?**

CASE 1

You have been assigned as quality advisor for the Internal Mail Distribution QMB, and are about to attend your first meeting with them. The team has met weekly for the last month without a QA. During your pre-meeting with the team leader, you learned that the team has made little progress. They have established ground rules and they have had several discussions with the XO to clarify their charter. As you enter the meeting room, you are pleased to see that some members are already at work, enthusiastically discussing ideas they have about how to improve the chop chain for special request chits. The team leader has joined in their conversation, but is being largely ignored.

CASE 2

You are the team leader for the Internal Mail Distribution QMB. Your team has been meeting for three months, and seems to be coming together. The first few meetings seemed tedious and a little rough at times, but they are beginning to make progress now. This week's meeting is focused on analyzing the cause and effect diagram created at the last meeting. Things are going along pretty smoothly until a heated discussion erupts between the Supply Officer (SO) and the Command Master Chief (CMC). Before you know it, the SO is accusing the CMC of not providing the "right kind of leadership the junior enlisted personnel need around here." The CMC responds with a below-the-belt retort about junior officers who "should have stayed enlisted if they wanted to be real leaders." The group falls into stunned silence.

CASE 3

You are the QA for the Internal Mail Distribution QMB. Your team has been meeting twice a week for the last month, and has collected some very interesting data about the process they were chartered to improve. The first report to the ESC isn't due for another month, but they are very excited and eager to brief the executive team on their findings. You have some reservations about the scope of the data they have thus far, but you don't want to dampen their enthusiasm. They are drawing straws to decide who gets the honor of being the briefer.

CASE 4

You are the QA for the Internal Mail Distribution QMB. The team you have been working with for the last few months has made some significant improvements in the process for collecting and delivering mail. As today's meeting closes, they are patting themselves on the back about what a good job they've done in spite of the ups and downs they've experienced. They downlink changed during the course of their work, they had a major falling out between the SO and the CMC, and they had a very bad initial briefing with the ESC. But they have weathered the storms, and are taking a moment to celebrate their success.

HANDOUT 6-2
Stages of Team Development Case Study Applications

CASE STUDY ANSWERS

CASE 1 ANSWERS:
1. The team is still in the forming stage.
2. Even though they have been meeting for some time and have received clarification from the downlink, they are still unclear about their tasking. The team leader is trying to be included, but is not being recognized as a leader. They are failing to progress, not because they disagree, but because they are not yet focused on the task.
3. The QA should take charge of this meeting, directing their energies toward understanding the purpose of the team and getting down to work on the tasking. One way to begin would be to ask for introductions, including a statement about the expertise each brings to the team. To keep them centered on internal mail distribution, next have them start flowcharting the process.

CASE 2 ANSWERS:
1. This team is in the storming stage.
2. It is not unusual to see some relatively "rough" times early on, when members are testing the waters. Progress after a few months of tedious meetings can create a false sense of security that the group has progressed into the performing stage. But this level of conflict—where personal attacks surface amid task discussions—is evidence of true storming. *Now* they are really airing the issues of power and control that have been hidden below the surface.
3. This team needs your support and help to work out the interpersonal issue that has apparently been lurking in the shadows. Do not sweep this under the rug! You should probably call a time-out to allow everyone's emotions to settle down somewhat. Then you need to facilitate a discussion between the SO and CMC to resolve or at least "agree to disagree" about their conflict. Whether this discussion takes place off-line or within the team meeting will depend on a number of factors not detailed here—such as readiness of the group and your skill as a facilitator. We will learn more in Modules 7 and 8 about how to handle conflict like this.

CASE 3 ANSWERS:
1. This team is in the norming stage.
2. They are happy with their progress and with their performance. They is no apparent fighting or lack of focus. They are progressing. But your reservations reflect an indication that they may have developed some tunnel vision about the data collection process. They are not yet "performing" if they are drawing straws vice realistically evaluating their individual strengths to decide who should brief the ESC.
3. Your responsibility as the QA is to give them a dose of reality. You could ask them some probing, but non-threatening, questions about the data collection process to help them discover for themselves if they really have covered all the bases. If they still insist they are ready to brief, let them. This could be a "growth experience" they need. Suggest they use some consensus-building techniques they've learned as a better method of identifying the briefer.

CASE 4 ANSWERS
1. This team is in the performing stage.
2. They are realistic about their strengths and weaknesses. They see both their failures and their successes, and they've accomplished some goals. They are confident and optimistic.
3. This is the time to step in very subtly to help them maintain the momentum and fine-tune their group process skills. You could suggest that, having reached some major milestones the tasking, it is time to think about the next goals they want to achieve. They could channel the high spirits they are feeling into a very productive discussion about more intensive self-assessment at the end of each meeting. They might be ready to try running a few meetings without the QA or rotating team leadership.   Most importantly, you should suggest some possible directions, then step out and let them carry on independently.

Module 7

Principled Negotiation Role Play
Exercise Handout Package

HANDOUT 7-1
Principled Negotiation Role Play
Scenario Number One

A team leader has been tasked to lead a project for which all of the necessary resources are provided except adequate time. The higher level team wants the data collection completed in 30 days; the team leader believes it will take 60 days. Negotiate a win-win agreement.

HANDOUT 7-2
Principled Negotiation Role Play
Scenario Number Two

The work leader in the Operations Division has agreed to commit one worker to a process improvement team for a dedicated two-week period. The team leader wants the worker with the most process knowledge, but that individual is also the most skilled and productive worker in the division. The work leader wants to offer up an average worker because that individual's absence would have less negative impact on the workload in the division.   One of you is the work leader, and the other is the process improvement team leader. Negotiate a win-win agreement.